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SECRET

Letter to Lieutenant General Richard D. Lawrence, USA

25X1 All of the above nominees are cleared to receive TOP SECRET
information, and we have initiated action to obtain [redacted]
25X1 Our Office of Security will forward certification of clearances
directly to you. [redacted]

25X1 Please forward all information and instructions for all
of our nominees in covering envelopes addressed to the Executive
Secretary, CIA Training Selection Board, Washington, D.C. 20505. [redacted]

25X1 We appreciate the opportunity to nominate four candidates
from the Agency for the National War College and one candidate
for the Industrial College of the Armed Forces to attend the
courses commencing 5 August 1985. We have qualified candidates
standing by should other spaces become available to us in the
next few months. [redacted]

Sincerely,

25X1 [redacted signature box]

Chairman
CIA Training Selection Board

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25X1 ES-TSB [redacted] (24Jan85)

EXECUTIVE SECRETARIAT
ROUTING SLIP

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| 9 | Chm/NIC | | | | |
| 10 | GC | | | | |
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| 12 | Compt | | | | |
| 13 | D/Pers | | | | |
| 14 | D/OLL | | | | |
| 15 | D/PAO | | | | |
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| SUSPENSE | | 28 Feb 85 <small>Date</small> | | | |

Remarks #19: Ref Attached sent to you on 17 Oct. This is a corrected copy to read: For appropriate action and please clear list of candidates, selected by TSB/O prior to forwarding to the National University.

EXECUTIVE SECRETARIAT

ROUTING SLIP

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| 22 | | | | | |
| SUSPENSE | | Date | | | |

Remarks

For Appropriate action and direct response with info copy to ES.

SAC
Executive Secretary

17 Oct 84

Date



DEPARTMENT OF DEFENSE

NATIONAL DEFENSE UNIVERSITY
WASHINGTON, D.C. 20319

Executive Registry

84 - 9463

REPLY TO
ATTENTION OF:

October 12, 1984

Personnel and Administration Division

Honorable William J. Casey
Director
Central Intelligence Agency
Washington, D.C. 20505

Dear Mr. Casey:

Each year the National Defense University extends invitations to agencies outside Department of Defense to nominate candidates to attend the courses at both the National War College and the Industrial College of the Armed Forces. This year it is a pleasure to invite you to nominate four candidates for the National War College and one candidate for the Industrial College of the Armed Forces to attend the courses commencing August 5, 1985.

The U.S. Office of Personnel Management has agreed that completion of the 10-month resident course at the National War College and the Industrial College of the Armed Forces exempts participation in the Executive Development Seminar and enables civilian employees to be certified as managerially qualified for a Senior Executive Service Appointment. A copy of the Office of Personnel Management letter dated July 18, 1984 addressing this exemption is enclosed. To assist you in the selection of candidates, I have enclosed an extract from the Department of Defense instruction which establishes the criteria for selecting Department of Defense civilian employees as students.

A key part of the learning process at the National Defense University is the exchange of ideas, knowledge, and experiences among the military and civilian students who represent a variety of agencies and functional activities. It is especially important that each nominee considered is a career executive who can be expected to continue in Government Service and attain future positions of high responsibility.

To insure that students are identified and curriculum established, there are two critical dates: nominations must be received not later than March 15, 1985; and each nominee must have a final TOP SECRET clearance and have initiated a Department of Energy "Q" clearance and a Special Background Investigation or equivalent for access to SCI not later than May 1, 1985. We also request that each nominee furnish a copy of his/her personal history.

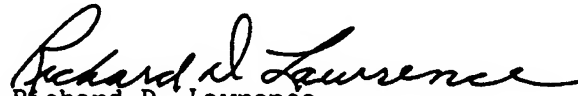
Please feel free to have your staff contact my Registrar at 693-8623 if they have any administrative questions.

T-110
v2 T-111

-2-

I am confident that the participation of your personnel in our program will be mutually beneficial.

Respectfully,

A handwritten signature in cursive script, reading "Richard D. Lawrence".

Richard D. Lawrence
Lieutenant General, U. S. Army
President

Enclosures

Federal Personnel Manual System

FPM Letter 412-4

SUBJECT: Executive, Management, and Supervisory Development

FPM Letters 920-2, -3, -7, -9, -11, -12, -13, and -15 are superseded.

Published in advance
of incorporation in FPM

Chapter 412

RETAIN UNTIL SUPERSEDED

Washington, D. C. 20415
July 18, 1984

Heads of Departments and Independent Establishments:

1. Since the passage of the Civil Service Reform Act of 1978, many FPM letters and bulletins pertaining to executive and management development have been issued. A separate FPM chapter devoted solely to supervisory development has also been issued. To clarify and consolidate the past FPM issuances on executive and management development, as well as to reflect the natural progression from supervisory development through managerial and executive development, OPM has produced a new FPM Chapter 412 on Executive, Management, and Supervisory Development.

2. The purpose of this letter is to transmit the revised chapter and to clarify which FPM bulletins and letters regarding executive and management development are obsolete (see attachment 1). This letter also rescinds FPM Chapter 411 on Supervisory Development.

3. The new chapter emphasizes how establishing a systematic process for developing executives, managers, and supervisors is important to the goal of achieving the most effective and efficient Government possible. In developing the new chapter, provisions were included to either incorporate or address the Grace Commission's recommendations on training and development services.

4. There are technically no major policy changes, but rather a refocusing to make OPM's guidance clearer and more cohesive. There is no change to Part 412 of title 5, Code of Federal Regulations.

5. Previous FPM issuances had required SES Candidate Development Program participants to attend OPM's Executive Development Seminar unless specifically exempted. The new chapter requires participants to attend a current, formal, interagency, executive-level training experience approved by OPM. The Executive Development Seminar is only one of several programs that now may be used to satisfy this requirement. Attachment 2 contains the complete list of programs currently approved by OPM.

6. Changes in the provisions for SES Candidate Development Programs may have an effect on current program participants (principally in the areas of exemptions to the requirement for attending the Executive Development Seminar and of length of certification following completion of the program). In such instances, current

Inquiries: Office of Training and Development, Workforce Effectiveness and
Development Group (202) 254-7086

Code: 412 - Executive Development

Distribution: FPM

FPM Letter 412-4 (2)

program participants have the option of complying with either the previously issued requirements or the new requirements. Individuals entering a SES Candidate Development Program following the effective date of this letter must comply with the new requirements.

7. A copy of the new chapter is attached (attachment 3).

A handwritten signature in black ink, consisting of a large, stylized 'D' followed by a horizontal line and a small flourish.

Donald J. Devine
Director

Attachments

This FPM letter supersedes several FPM letters in the 920 series (Senior Executive Service). The three previous FPM letters in the 412 series were superseded by other issuances in the past. To avoid even the slightest chance for confusion, this attachment lists all obsolete or superseded (from whatever source) FPM letters and bulletins in both the 920 and 412 series having to do solely with executive, management, and supervisory development.

| <u>FPM Letter</u> | <u>Subject</u> |
|-------------------|--|
| 920-2 | Monitoring Executive and Management Program Plans |
| 920-3 | Merit Staffing for SES Candidate Development Programs |
| 920-6 | Criteria for Exceptions to Attendance at OPM's Executive Development Seminar |
| 920-7 | Discontinuance of Advance Qualification Review Board Certification for the SES based on Demonstrated Executive Experience |
| 920-9 | Requirements for Qualification Review Board Review of Graduates of SES Candidate Development Programs |
| 920-11 | Monitoring Executive and Management Development Programs Plans -- FY 1982 |
| 920-12 | Criteria for Exceptions to Completion of OPM's Executive Development Seminar |
| 920-13 | Continuing Development of Senior Executives |
| 920-15 | Management Development |
| 412-1 | Guidelines for Executive Development in the Federal Service |
| 412-2 | Executive and Management Development |
| 412-3 | Selecting Participants for Executive Development Programs |

| <u>FPM Bulletin</u> | <u>Subject</u> |
|---------------------|---|
| 920-41 | SES Candidate Development Programs |
| 412-1 | Report of Executive and Management Development Activities |
| 412-2 | Proposed Regulations on Executive Development |
| 412-3 | Relocation of Berkeley Executive Seminar Center |
| 412-4 | Final Regulations on Executive and Management Development |
| 412-5 | Executive and Management Development |

Attachment 2 to FPM Letter 412-4

Subsection 3-2b(2) of the new FPM Chapter 412 requires participants in a SES Candidate Development Program to participate in a current, formal, interagency, executive-level training experience approved by OPM. The training experiences currently approved by OPM are:

- the Executive Development Seminar offered by OPM,
- the regular program of the National War College,
- the regular program of the Industrial College of the Armed Forces,
- the Contemporary Executive Development seminar at the George Washington University,
- the Key Executive Program at the American University,
- the 13-week Senior Executive Fellows Program at Harvard University's Kennedy School of Government, and
- the 7-week Senior Executive Education Program of OPM's Federal Executive Institute (but only when prior written agreement has been made with the Institute staff that the program is to satisfy the requirement of subsection 3-2b(2)).

FPM CHAPTER 412

SUBCHAPTER 1. EXECUTIVE, MANAGEMENT, AND SUPERVISORY DEVELOPMENT POLICIES

1-1. Executive, Management, and Supervisory (E-M-S) Development.

Throughout the Federal government, serving the public interest requires management excellence -- managerial behavior that results in the successful implementation of agency policies and programs. Executives, managers, and supervisors constitute the management team in Federal agencies. Maintaining the quality and efficiency of Federal programs depends on the responsiveness of an agency's management team, since its members direct the agency's employees who administer those programs. Achieving and sustaining management excellence within a management team requires that an agency ensure appropriate levels of expertise among its managers through management development, which recognizes that the competencies required of successful managers are generally distinctive and may not have been acquired in the circumstances of a specialized career or technical occupation.

a. Purpose of Development. E-M-S development is a systematic process whereby executives, managers, and supervisors achieve management excellence by mastering the competencies that will allow their organizations to improve effectiveness and efficiency while responding flexibly to new demands. The development of executives, managers, and supervisors is not a remedial process but a positive strategy to increase excellence in government.

b. Management as a Profession. The vast majority of managerial positions are filled by men and women selected because of technical qualifications demonstrated in a specialized profession or career field. The nature of managerial competencies, however, establishes management as a distinct second profession for which the technical competencies of the first profession become collateral. The managerial role must be prepared for with careful deliberation and analysis. Recognition of the need for additional preparation in this "second career" is the basis for the required probationary period for newly appointed supervisors and managers in the competitive service, and the requirements to develop members of and candidates for the Senior Executive Service (SES).

1-2. Legal and Regulatory Basis.

Policy and practice in the area of E-M-S development are grounded in a synthesis of three separate but complementary areas of statute and regulation concerning training, probationary periods, and management development.

a. Executive, Management, and Supervisory Training. 5 USC 4103 requires agency heads to establish training programs to increase economy and efficiency in the operation of the agency and to raise the standards of employees' performance of their official duties to the maximum possible level of proficiency. More specifically, 5 CFR §410.201 requires agencies to review short- and long-term training program needs by occupations, organizations, or other appropriate groups. An agency's management team of its executives, managers, and supervisors represents one such group or occupation for whom these standards of performance and training needs must be addressed.

Attachment 3 to FPM Letter 412-4 (4)

b. Probationary Period for Supervisors and Managers in the Competitive Service. With the aim of providing for good administration of the Federal government, 5 USC 3321 establishes a mandate for a period of probation before initial appointment as a supervisor or manager in the competitive service becomes final. OPM takes this to mean that agencies have an obligation to consider the competencies and possible development needs of newly appointed supervisors and managers during this trial period.

c. Management Development. Under 5 USC 3393(c)(2) and 3396, agencies with SES positions must establish programs for the development of candidates for and incumbent members of the SES; 5 USC 3397 authorizes OPM to prescribe regulatory guidance for these programs. Under 5 USC 4118, OPM has the responsibility to issue regulations containing the principles, standards, and related requirements for agency training programs. Consistent with these statutory authorities and obligations, 5 CFR Part 412 requires agencies to establish executive and management development programs to identify and address the development needs of their management teams, and provides criteria for those programs.

1-3. Program Coverage and Definitions.

To define the target groups for E-M-S development programs adequately, two sets of criteria should be considered: one is based on the level of management responsibilities and the other on categories of managers at each level.

a. Level of Management. Managers at different organizational levels are designated as executives, managers, and supervisors; consistent with other uses of those terms by OPM. Distinctions between levels are made most clearly in terms of differences in the substance of jobs at each level. That is, at higher levels, job duties and requirements change in scope and breadth and not just in their intensity or technical subject matter. Thus, if a person moves from supervising three people to supervising thirty, but the job still requires only a narrow focus on immediate work unit production, the person is still considered a supervisor.

- (1) Criteria for defining executive positions are set forth in 5 USC 3132(a)(2). The duties and responsibilities of such positions must be classifiable above the GS/GM-15 level.
- (2) Managerial and supervisory positions are defined in accordance with the Supervisory Grade-Evaluation Guide published by OPM. Those definitions can also be found in subchapter 9 of FPM Chapter 315, "Probation on Initial Appointment to a Supervisory or Managerial Position."

b. Categories of Managers. For any level of management, three groups of people can be identified who may have different development requirements:

- (1) Incumbent executives, managers, and supervisors;
- (2) Recently selected executives, managers, and supervisors (i.e., those for whom the nature of their new position is substantially different, as described above); and
- (3) Individuals with the potential to become executives, managers, and supervisors when vacancies occur.

c. Target Groups. By differentiating target groups using these criteria (and other relevant, agency-specific criteria), agencies can define development needs more appropriately. The needs of the new supervisor can be distinguished from those of an incumbent supervisor or a new manager.

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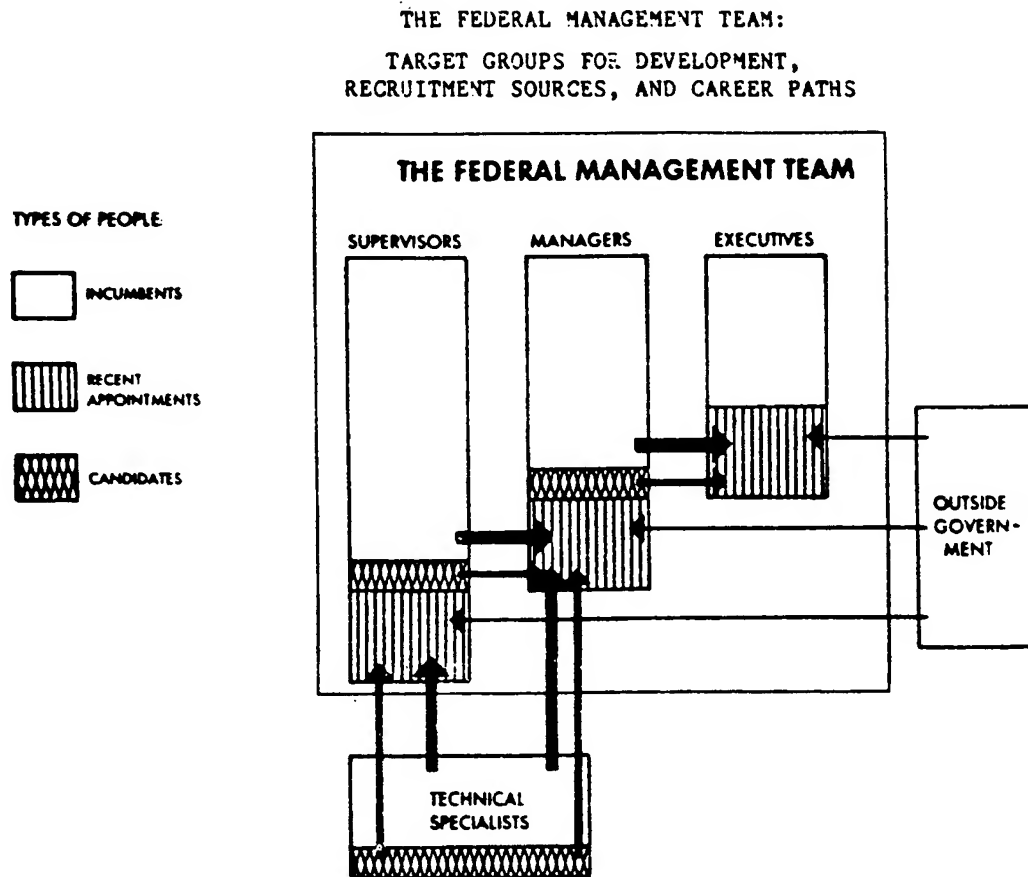
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c. Target Groups. By differentiating target groups using these criteria (and other relevant, agency-specific criteria), agencies can define development needs more appropriately. The needs of the new supervisor can be distinguished from those of an incumbent supervisor or a new manager.

E-M-S development programs can then be tailored to increase their accuracy and impact. Figure 1 depicts these management levels and types of people and shows how career progression occurs across the management levels.

Figure 1.



NOTE: Each arrow represents input to the levels on the management team; width of the arrow indicates relative frequency from each recruitment source.

1-4. Agency Roles.

Agencies must take the initiative to ensure their own management excellence. At a minimum, they should design and administer effective E-M-S development programs that conform to the specifications outlined in section 2-1, using OPM services and assistance as needed. Beyond that, however, agencies should foster management excellence by establishing an environment where it is expected, developed, recognized, and rewarded.

1-5. OPM Role.

OPM's role is to provide leadership and direction to Federal agencies as they move to ensure management excellence within their management teams. This leadership involves setting policy and offering guidance for the development of executives, managers, and supervisors, while monitoring the Federal government's progress toward achieving management excellence. OPM will fulfill this role in partnership with the agencies by making a full range of services available for use as needed (see section 2-2).

Attachment 3 to FPM Letter 412- 4 (6)

SUBCHAPTER 2. E-M-S DEVELOPMENT PROGRAM REQUIREMENTS

2-1. General Requirements.

Agency E-M-S development programs must:

- a. Define E-M-S positions as part of a distinct second profession with competency requirements beyond those of a specialized occupational field.
- b. Issue a statement of the agency's policies and strategies for achieving the management excellence goal that best addresses the special features of the agency's mission and personnel needs at all organizational levels. This policy statement should be the primary vehicle for communicating the agency head's commitment to the "second profession" concept, and the funding and staff levels needed to meet that goal.
- c. Ensure that the development program(s) for executives, managers, and supervisors are closely coordinated to provide consistency, build on a common competency base, and minimize overlap and unnecessary costs. Since Executive Resources Boards (ERB's) have specific operating responsibilities under 5 CFR §412.107 for agency executive and management development programs, they will be the decision-making bodies that can assure this requirement is met through their strategic management of a cohesive development system for an agency's total management team.
- d. Assess individual and agency development needs for executives, managers, and supervisors in terms of the competencies and characteristics required at each managerial level for the successful implementation of policies and program initiatives.
- e. Recognize the special importance of identifying and meeting individual development needs as a person makes critical career transitions to become a new supervisor, new manager, or new executive; and establish meeting those needs as an agency priority.
- f. Include both initial and continuing development of executives, managers, and supervisors.
- g. Identify and plan for both short- and long-term agency management development needs using projected workforce requirements and potential changes in agency mission and goals.
- h. Consider a variety of developmental approaches and strategies (formal training, mentoring, coaching, rotational assignments, special work projects, long-term education and training programs, etc.) in determining the best and most economical method of fulfilling individual development needs.
- i. Operate in a manner that ensures their full integration with the agency's other personnel management programs and systems, such as recruitment, selection, compensation, performance management, affirmative employment, position management, and forecasting managerial resource needs.
- j. Establish an evaluation system to assess both program and individual success in terms of agency-developed criteria that address program cost, program impact on organizational and individual performance, and the extent to which other personnel subsystems are affected and strengthened.

2-2. OPM Leadership Responsibilities and Services.

To carry out its obligations under statute, OPM is responsible for providing the following guidance and assistance:

- a. Designing an E-M-S development approach that permits tailoring systems and programs to specific agency and individual needs, while still ensuring that the overall E-M-S development needs of the Federal government are met.
- b. Providing technical advice and assistance to agencies on how their needs and OPM's expectations can be met.
- c. Developing and maintaining a competency-based model of effective performance for Federal executives, managers, and supervisors.
- d. Providing methods and services for the systematic assessment of E-M-S development needs for agencies, groups, and individuals.
- e. Developing and maintaining a nationwide, competency-based curriculum for Federal executives, managers, and supervisors.
- f. Conducting ongoing developmental efforts with agencies to identify and promote new management techniques and practices and to incorporate these into E-M-S development.
- g. Monitoring the performance of agency E-M-S development programs.
- h. Sharing information with agencies on the results of OPM and other agency efforts to achieve management excellence in government.
- i. Providing regulatory and FPM guidance as appropriate.

2-3. Program Monitoring and Evaluation.

The best interests of the Federal government, as well as specific provisions of statute (5 USC 3396(b)) and regulation (5 CFR §412.105), require that OPM and the agencies work together to evaluate the benefits and costs of the E-M-S development programs in Federal agencies.

- a. Agency Requirements. Specifically, agencies are required to:
 - (1) Maintain adequate documentation of program efforts and costs to demonstrate that OPM and agency E-M-S development policies are being implemented; and
 - (2) Submit program information to OPM as requested to assist in government-wide evaluation efforts.
- b. OPM Responsibilities.
 - (1) OPM will analyze Federal E-M-S development program trends and accomplishments using available data base systems, results of periodic onsite agency reviews, and feedback from agencies received as part of E-M-S development program assistance. The results of these analyses will be shared with agencies and form the basis for OPM policy, leadership initiatives, and requirements that may be established to assure the development of management excellence in government.
 - (2) OPM will continue to work with agencies to implement the requirements of 5 CFR Part 412 on executive and management development.

Attachment 3 to FPM Letter 412- 4 (8)

SUBCHAPTER 3. SPECIFIC E-M-S DEVELOPMENT PROGRAMS AND PROVISIONS

3-1. Development Programs for Specific Management Levels and Career Transitions.

By designing E-M-S development programs according to the principles and requirements outlined in this chapter, agencies will produce coherent, integrated systems that identify and address development needs throughout their management teams with activities tailored to appropriate subgroups within those teams. Such subgroups are already identified to some degree by specific provisions in law and regulation. Examples of these subgroups and some of their relevant program and development considerations are listed below.

a. Supervisors. Consistent with 5 CFR §410.201(a)(3) agencies should consider supervisors as a group and project their short- and long-term training program needs.

- (1) For new first-line supervisors, particular attention should be paid to developing appropriate management competencies and characteristics for this initial stage of their "second career". Primarily, this involves basic supervisory skills, and effective communication and interpersonal relations. In addition, however, an understanding of the Federal management role in general and how individual managers contribute to achieving management excellence provides an important frame of reference for their new career.
- (2) Incumbent supervisors should maintain those specific technical or professional competencies that continue to play a major role in their effectiveness on the job. Beyond this, longer-tenured supervisors should develop advanced skills in guiding and monitoring subordinates, including leadership skills in taking actions to direct their work units toward achieving results. Also, they should stay current with government-wide initiatives that improve basic administrative and resource management systems.

b. Managers. 5 CFR §412.103(a)(3) and §412.107(e) require agencies to establish either open management development systems or selective management development systems (or both) for incumbent managers and specialists identified as having management potential at grades GS/GM-13 through 15. To further progress toward affirmative employment goals, agencies may include employees at the GS-12 level. Under 5 CFR §412.107(a), agency ERB's provide the overall planning and management of these programs.

- (1) New managers will need development aimed at providing that increment of management competencies and characteristics their broader job responsibilities require. They need a clear understanding of their more direct role in implementing national policies and programs and its relation to supervisory and executive behavior. They must reinterpret and adjust their existing skills and attributes to meet the demands of this new role. Some new areas of competency must be acquired, especially in functions like planning and evaluation, and this management level often requires new competencies for managing resources effectively under various central management agency policies and programs. Finally, attributes like tenacity, flexibility, initiative, and vision must be cultivated and applied in new settings.
- (2) Incumbent managers will need to keep abreast of technological changes and relevant policy and program initiatives. Those who make career transitions within this level (e.g., from staff to line positions or field to headquarters locations) will need to assess the requirements of their new positions and develop new skills or broaden their existing skills further. Senior managers, too, need updating and advanced practice in the behavior that has supported their management excellence in the past.
- (3) Management candidates who have never held a supervisory position, i.e., specialists identified as having management potential, may need opportunities to assess and develop their basic supervisory skills.

c. Executives. The law is clearest on establishing agencies' obligation to provide systematic development for and within the SES. The responsibility for developing SES members is shared by the individual executives and their agency ERB's.

- (1) Incumbent SES Members. (a) 5 USC 3396(a) and 5 CFR 412.103(a)(1) require agencies to establish programs for the continuing development of SES members. The most effective executive performance combines highly developed management competencies and characteristics with an up-to-date appreciation of the environment in which those skills can be applied to serve the national interest. That environment is a highly complex world of constant change. Executives must be knowledgeable about such areas as: technological developments, new legislation, innovative management practices, and current policy and program initiatives. The SES individual development plan (IDP) can serve as the primary tool for ensuring executives maintain currency in appropriate areas.
 (b) Agency programs must include the preparation, implementation, and regular updating of an IDP for each SES member. The IDP requirement may be met by appending a brief listing of developmental objectives and specific proposed developmental activities to each senior executive's annual performance plan. An elaborate paper-work system is not needed. The IDP should focus on assessing personal competencies against the competencies required for optimum performance in the current or a prospective position, especially those required for implementing national policies and program initiatives. The ERB must approve each plan. OPM encourages agencies to use the IDP as a planning device to derive optimal performance from both SES members and their organizations.
- (2) SES Candidates. Under 5 USC 3396(a) and 5 CFR 412.103(a)(2) and 412.107(c), agencies with positions in the SES are required to establish programs for the development of candidates for the SES. Agencies should focus primarily on individuals just below the SES, at the GS/GM-15 level. Agency ERB's provide the overall direction and management of these programs. Section 3-2 describes these programs more specifically.

3-2. SES Candidate Development Programs.

NOTE: Because of its specific statutory responsibilities concerning the implementation of SES candidate development programs in agencies, OPM took a strong role in designing the requirements for these programs. The relative volume of guidance provided for this program, compared with other programs and groups listed in section 3-1, should not be interpreted as an indication of the level of importance OPM places on any of these programs. Many organizations, using projected vacancies as a planning tool in designing and prioritizing development programs for the total management team, could determine that the development of their supervisors and managers has a higher resource priority.

a. Recruitment.

- (1) Recruitment for SES candidate development programs is the first step in a selection and development process that can result in appointment to the SES. As such, it is subject to merit staffing procedures equivalent to those used for filling SES positions.
- (2) Agencies may establish dual programs for SES candidate development, with appropriate recruitment procedures for each. One program would be for developing candidates serving in career or career-type positions. The other would be for developing candidates selected from outside the Federal government and/or from employees serving in other than career or career-type appointments within the civil service.

b. Development Requirements.

- (1) Individual Development Plan. Each participant in a SES candidate development program must have an IDP approved by the appropriate ERB. The IDP must identify the developmental experiences designed to provide competency in the executive activity areas considered in the executive qualifications review process.

- (2) Specific Training Experience. Each IDP must include participation in a current, formal, interagency, executive-level training experience with participants representing a variety of Federal agencies with a broad mix of missions. The training experience may be provided by either Government or non-Government sources, but it must have prior, written OPM approval. The course of instruction must promote competence and effectiveness by establishing a working knowledge of executive roles in government, particularly:
- the competency areas (or executive activity areas from the qualifications review process) concerning "Integrating Internal and External Issues" and "Representing and Coordinating";
 - showing sensitivity to political, economic, and other non-technical factors; and
 - approaching issues with a strategic view and broad perspective.

(a) Agencies may request OPM approval of a course or program by sending a letter to OPM explaining how the program or course meets the criteria outlined above. Requests should be sent to:

Assistant Director for Training and Development
U.S. Office of Personnel Management
1121 Vermont Avenue, NW
Washington, D.C. 20044

When a course or program is approved, OPM will notify the agencies. OPM and the agencies are jointly responsible for monitoring approved programs to ensure they continue to meet the criteria. If a program no longer meets them, OPM will rescind approval and notify the agencies.

(b) OPM will consider individual exemptions to this requirement; however, OPM considers participation in a current, formal, interagency, executive-level training experience of such importance that exemptions to the requirement will be made only under extraordinary circumstances.

- (3) Senior Advisors. Each participant in an SES candidate development program must have an SES member as a senior advisor. As the advisor's effectiveness depends greatly on the compatibility of the individuals, agencies should try to involve both candidates and advisors when initially assigning advisors or when considering changing those assignments. Advisors should provide a broad, long-term perspective, as well as insight about the organization's management; help candidates prepare IDP's; help arrange developmental assignments; and monitor the candidate's progress. Agencies must ensure that advisors are aware of these responsibilities and are properly prepared to fulfill their roles.

c. Certification.

- (1) Once an individual has successfully completed an OPM-approved executive development program, the ERB has nine months to request the Qualifications Review Board (QRB) to certify the individual's qualifications for the SES. To obtain certification, the ERB must submit the following documents:
- (a) A completed OPM Form 1390, "Executive Personnel Transaction Form";
 - (b) A letter, signed by the Chairperson of the agency's ERB, containing:
 - a brief appraisal of the graduate's performance during the program,
 - a statement that the individual has successfully completed all IDP activities,
 - the title, location, and date of the OPM-approved training experience, and
 - the ERB's approval of the submission; and
 - (c) A copy of the IDP linking the completed developmental activities with the SES competency areas.
- (2) The ERB should send the document package to its SES agency officer at:
- Office of Executive Personnel
U.S. Office of Personnel Management
1900 E Street, NW
Washington, D.C. 20415
- (3) QRB certification of an individual based on successful completion of an SES candidate development program will remain valid as a basis for initial career appointment to the SES for a period of 3 years, or until the date of initial career appointment to the SES, whichever occurs first.

1430.5 (Encl 3)
Jun 26, 78

CRITERIA FOR SELECTION OF CIVILIAN EMPLOYEES OF
THE DEPARTMENT OF DEFENSE FOR ATTENDANCE AT
THE JOINT COLLEGES

1. The opportunity of having civilian employees attending the joint college affords the Department of Defense another means of assuring that key civilian personnel are properly equipped to carry out responsible duties in the Department. It is important that the necessary time and attention, including the endorsement of the candidate by a high-level committee, be devoted to the selection of nominees for this purpose, if the Department is to take full advantage of this opportunity. In the selection, the following criteria will be observed.

a. The employee must have an appointment without time limitation and must have competitive status if employed in the competitive service;

b. The employee selected for the National War College or the Industrial College of the Armed Forces must occupy a position in grade GS-15 or above. In a few instances, employees in grade GS-14, who have demonstrated an exceptionally high potential for advancement, may be considered for selection. The employee selected for the Armed Forces Staff College must occupy a position in grade GS-12 or above;

c. The employee must have demonstrated a potential for higher level of responsibilities in the DoD;

d. The employee must have arrived at a point in his career development where the specific educational opportunity offered by each of the colleges is appropriate and desirable for his future development within DoD. Careful consideration should be given to the employee's probable future assignments and responsibilities and a judgment made concerning the applicability of the college's program to his development;

e. Because of the extremely broad scope of the college courses, employees nominated should have demonstrated a capacity to adjust themselves readily to a variety of substantial fields, to master complex subject matter quickly, to appreciate the problems and understand the implications involved in economic, political, technological, administrative, and military planning;

f. One of the learning techniques used by the colleges is small group activity. Employees nominated for attendance at one of the colleges should, therefore, have demonstrated an adaptability for work in small groups as an approach to the educational process;

g. The employee should possess the educational background, maturity, and poise to meet on an equal footing with the other military students (Army, Air Force, and Marine Colonels and Lieutenant Colonels, and Navy Captains and Commanders at the National War College and the Industrial College of the Armed

Forces; Army and Marine Corps Lieutenant Colonels and Majors, Air Force Majors, and Navy Lieutenant Commanders at the Armed Forces Staff College).

h. The employee must have or be able to obtain clearance for access to Top Secret information.

i. The employee must desire to attend the college.

j. In order for the DoD to profit by the investment in personnel who take a course at one of the colleges, only employees who are expected to be available for further service in the DoD upon completion of the course should be nominated. Therefore, an employee nominated for the course must be willing, if selected, to agree to remain with the DoD for a minimum period of 3 years upon completion of the course, or for such a portion of this 3-year period as his services may be required.

2. Deviations from these criteria may be made only in exceptional cases if it is considered to be in the best interests if the DoD, and then only upon approval of the Head of the DoD Component concerned, or his designee for this purpose.

3. In addition to meeting the criteria in 1 above, employees nominated for The National War College should hold a position or be earmarked for one in which the political military affairs curriculum of The National War College is relevant. While specialists in technical or scientific matters are eligible, experience has shown that such persons also must have a strong background in the matters which are covered in depth in the curriculum. These include such national security fields as: International Affairs, the relation of military policy to foreign policy, the decision-making process, the US domestic environment, US strategy, plus an array of elective courses relating to US national security issues. The employee must have a broadly based educational background and be intellectually capable of future senior level assignments in planning, intelligence, and other joint activities, of the DoD, National Security Council, Department of State, USIA, AID, ISA, CIA NSA, and other national security-oriented agencies. The National War College program requires a high degree of participation (oral and written) on national security related topics.

4. In addition to meeting the criteria in 1 above, employees nominated for the Industrial College of the Armed Forces must hold a position, or have been selected for a later assignment to a position, which entails considerable decision-making responsibility in the management of national security resources, including the related economic, social, political, environmental, technological, administrative and military factors. Further, the employee's position should be one requiring an understanding in depth of the principles, policies, operations, and organizations involved in national and international security affairs.

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DEPARTMENT OF DEFENSE

NATIONAL DEFENSE UNIVERSITY
WASHINGTON, D.C. 20319

83-5467

REPLY TO
ATTENTION OF:

Office of the Adjutant General

9 November 1983

Honorable William J. Casey
Director
Central Intelligence Agency
Washington, D.C. 20505

Dear Mr. Casey:

It is a pleasure to invite you to nominate four candidates to attend the course at the National War College and one candidate to attend the course at the Industrial College of the Armed Forces commencing August 6, 1984. We would appreciate having your nominations, to include a personal history, prior to March 15, 1984.

To assist you in the selection of the candidates, I have enclosed an extract from the Department of Defense Instruction which establishes the criteria for selecting DOD civilian employees as students.

A key part of the learning process at the National Defense University is the exchange of ideas, knowledge, and experiences among the military and civilian students who represent a variety of agencies and functional activities. It is especially important that you consider each nominee a career executive who can be expected to attain future positions of high responsibility in government.

The U.S. Office of Personnel Management (OPM) has agreed that completion of the 10-month resident course at the National War College or the Industrial College of the Armed Forces exempts participation in the Executive Development Seminar and enables civilian employees to be certified as managerially qualified for a Senior Executive Service Appointment. A copy of the OPM letter dated February 25, 1981 confirming this exemption is enclosed.

Each student must have a Final Top Secret Clearance and have initiated a Department of Energy "Q" Clearance and a Special Background Investigation or equivalent for access to Sensitive Compartmented Information by no later than May 1, 1984.

In order to insure that the students have the appropriate security clearance and establish the curriculum for the Class of 1985, it would be appreciated that any deletions or additions to the course be identified as soon as possible, but preferably not later than June 1, 1984.

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Please feel free to have your staff contact my Registrar at 693-8623 if they have any administrative questions.

I am confident that the participation of your personnel in our program will be mutually beneficial.

Respectfully,


Richard D. Lawrence
Lieutenant General, U.S. Army
President

Enclosures

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Remarks

TO #20: For appropriate action - please
clear list of candidates with DDCI prior
to forwarding to the N
University.

STAT

9 Oct 85

Date

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**DEPARTMENT OF DEFENSE**NATIONAL DEFENSE UNIVERSITY
WASHINGTON, D.C. 20319

Executive Registry

85-3859

REPLY TO
ATTENTION OF:

October 1, 1985

Personnel and Administration Division

Honorable William J. Casey
Director
Central Intelligence Agency
Washington, D.C. 20505

Dear Mr. Casey:

Each year the National Defense University extends invitations to agencies outside Department of Defense to nominate candidates to attend the courses at both the National War College and the Industrial College of the Armed Forces. This year it is a pleasure to invite you to nominate four candidates for the National War College and one candidate for the Industrial College of the Armed Forces to attend the course commencing August 4, 1986.

The U.S. Office of Personnel Management has agreed that completion of the 10-month resident course at the National War College and the Industrial College of the Armed Forces exempts participation in the Executive Development Seminar and enables civilian employees to be certified as managerially qualified for a Senior Executive Service Appointment. A copy of the Office of Personnel Management letter dated July 18, 1984 addressing this exemption is enclosed. To assist you in the selection of candidates, I have enclosed an extract from the Department of Defense instruction which establishes the criteria for selecting Department of Defense civilian employees as students.

A key part of the learning process at the National Defense University is the exchange of ideas, knowledge, and experiences among the military and civilian students who represent a variety of agencies and functional activities. It is especially important that each nominee considered is a career executive who can be expected to continue in Government Service and attain future positions of high responsibility.

To insure that students are identified and curriculum established, there are two critical dates: nominations must be received not later than March 15, 1986; and each nominee must have a final TOP SECRET clearance and have initiated a Department of Energy "Q" clearance and a Special Background Investigation or equivalent for access to SCI not later than May 1, 1986. We also request that each nominee furnish a copy of his/her personal history.

Please feel free to have your staff contact my Registrar at 475-1996 if they have any administrative questions.

-2-

I am confident that the participation of your personnel in our program will be mutually beneficial.

Respectfully,

A handwritten signature in dark ink, appearing to read "Richard D. Lawrence". The signature is fluid and cursive, with a large initial "R".

Richard D. Lawrence
Lieutenant General, U. S. Army
President

Enclosures

1430.5 (Encl 3)

Jun 26, 78

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THE DEPARTMENT OF DEFENSE FOR ATTENDANCE AT
THE JOINT COLLEGES

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c. The employee must have demonstrated a potential for higher level of responsibilities in the DoD;

d. The employee must have arrived at a point in his career development where the specific educational opportunity offered by each of the colleges is appropriate and desirable for his future development within DoD. Careful consideration should be given to the employee's probable future assignments and responsibilities and a judgment made concerning the applicability of the college's program to his development;

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g. The employee should possess the educational background, maturity, and poise to meet on an equal footing with the other military students (Army, Air Force, and Marine Colonels and Lieutenant Colonels, and Navy Captains and Commanders at the National War College and the Industrial College of the Armed

Forces; Army and Marine Corps Lieutenant Colonels and Majors, Air Force Majors, and Navy Lieutenant Commanders at the Armed Forces Staff College).

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Federal Personnel Manual System

FPM Letter 412-4

Published in advance
of incorporation in FPM

Chapter 412

RETAIN UNTIL SUPERSEDED

SUBJECT: Executive, Management, and Supervisory Development

FPM Letters 920-2, -3, -7, -9, -11, -12, -13, and -15
are superseded.

Washington, D. C. 20535
July 18, 1984

Heads of Departments and Independent Establishments

1. Since the passage of the Civil Service Reform Act of 1978, many FPM letters and bulletins pertaining to executive and management development have been issued. A separate FPM chapter devoted solely to supervisory development has also been issued. To clarify and consolidate the past FPM issuances on executive and management development, as well as to reflect the natural progression from supervisory development through managerial and executive development, OPM has produced a new FPM Chapter 412 on Executive, Management, and Supervisory Development.

2. The purpose of this letter is to transmit the revised chapter and to clarify which FPM bulletins and letters regarding executive and management development are obsolete (see attachment 1). This letter also rescinds FPM Chapter 411 on Supervisory Development.

3. The new chapter emphasizes how establishing a systematic process for developing executives, managers, and supervisors is important to the goal of achieving the most effective and efficient Government possible. In developing the new chapter, provisions were included to either incorporate or address the Grace Commission's recommendations on training and development services.

4. There are technically no major policy changes, but rather a refocusing to make OPM's guidance clearer and more cohesive. There is no change to Part 412 of title 5, Code of Federal Regulations.

5. Previous FPM issuances had required SES Candidate Development Program participants to attend OPM's Executive Development Seminar unless specifically exempted. The new chapter requires participants to attend a current, formal, interagency, executive-level training experience approved by OPM. The Executive Development Seminar is only one of several programs that now may be used to satisfy this requirement. Attachment 2 contains the complete list of programs currently approved by OPM.

6. Changes in the provisions for SES Candidate Development Programs may have an effect on current program participants (principally in the areas of exemptions to the requirement for attending the Executive Development Seminar and of length of certification following completion of the program). In such instances, current

Inquiries: Office of Training and Development, Workforce Effectiveness and
Development Group (202) 254-7086

Code: 412 - Executive Development

Distribution: FPM

FPM Letter 412-4 (2)

program participants have the option of complying with either the previously issued requirements or the new requirements. Individuals entering a SES Candidate Development Program following the effective date of this letter must comply with the new requirements.

7. A copy of the new chapter is attached (attachment 3).

A handwritten signature in black ink, consisting of a series of loops and a long horizontal stroke extending to the right.

Donald J. Devine
Director

Attachments

This FPM letter supersedes several FPM letters in the 920 series (Senior Executive Service). The three previous FPM letters in the 412 series were superseded by other issuances in the past. To avoid even the slightest chance for confusion, this attachment lists all obsolete or superseded (from whatever source) FPM letters and bulletins in both the 920 and 412 series having to do solely with executive, management, and supervisory development.

| <u>FPM Letter</u> | <u>Subject</u> |
|-------------------|--|
| 920-2 | Monitoring Executive and Management Program Plans |
| 920-3 | Merit Staffing for SES Candidate Development Programs |
| 920-6 | Criteria for Exceptions to Attendance at OPM's Executive Development Seminar |
| 920-7 | Discontinuance of Advance Qualification Review Board Certification for the SES based on Demonstrated Executive Experience |
| 920-9 | Requirements for Qualification Review Board Review of Graduates of SES Candidate Development Programs |
| 920-11 | Monitoring Executive and Management Development Programs Plans — FY 1932 |
| 920-12 | Criteria for Exceptions to Completion of OPM's Executive Development Seminar |
| 920-13 | Continuing Development of Senior Executives |
| 920-15 | Management Development |
| 412-1 | Guidelines for Executive Development in the Federal Service |
| 412-2 | Executive and Management Development |
| 412-3 | Selecting Participants for Executive Development Programs |

| <u>FPM Bulletin</u> | <u>Subject</u> |
|---------------------|---|
| 920-41 | SES Candidate Development Programs |
| 412-1 | Report of Executive and Management Development Activities |
| 412-2 | Proposed Regulations on Executive Development |
| 412-3 | Relocation of Berkeley Executive Seminar Center |
| 412-4 | Final Regulations on Executive and Management Development |
| 412-5 | Executive and Management Development |

Attachment 2 to FPM Letter 412-4

Subsection 3-2b(2) of the new FPM Chapter 412 requires participants in a SES Candidate Development Program to participate in a current, formal, interagency, executive-level training experience approved by OPM. The training experiences currently approved by OPM are:

- the Executive Development Seminar offered by OPM,
- the regular program of the National War College,
- the regular program of the Industrial College of the Armed Forces,
- the Contemporary Executive Development seminar at the George Washington University,
- the Key Executive Program at the American University,
- the 13-week Senior Executive Fellows Program at Harvard University's Kennedy School of Government, and
- the 7-week Senior Executive Education Program of OPM's Federal Executive Institute (but only when prior written agreement has been made with the Institute staff that the program is to satisfy the requirement of subsection 3-2b(2)).

FPM CHAPTER 412

SUBCHAPTER 1. EXECUTIVE, MANAGEMENT, AND SUPERVISORY DEVELOPMENT POLICIES

1-1. Executive, Management, and Supervisory (E-M-S) Development.

Throughout the Federal government, serving the public interest requires management excellence — managerial behavior that results in the successful implementation of agency policies and programs. Executives, managers, and supervisors constitute the management team in Federal agencies. Maintaining the quality and efficiency of Federal programs depends on the responsiveness of an agency's management team, since its members direct the agency's employees who administer those programs. Achieving and sustaining management excellence within a management team requires that an agency ensure appropriate levels of expertise among its managers through management development, which recognizes that the competencies required of successful managers are generally distinctive and may not have been acquired in the circumstances of a specialized career or technical occupation.

a. Purpose of Development. E-M-S development is a systematic process whereby executives, managers, and supervisors achieve management excellence by mastering the competencies that will allow their organizations to improve effectiveness and efficiency while responding flexibly to new demands. The development of executives, managers, and supervisors is not a remedial process but a positive strategy to increase excellence in government.

b. Management as a Profession. The vast majority of managerial positions are filled by men and women selected because of technical qualifications demonstrated in a specialized profession or career field. The nature of managerial competencies, however, establishes management as a distinct second profession for which the technical competencies of the first profession become collateral. The managerial role must be prepared for with careful deliberation and analysis. Recognition of the need for additional preparation in this "second career" is the basis for the required probationary period for newly appointed supervisors and managers in the competitive service, and the requirements to develop members of and candidates for the Senior Executive Service (SES).

1-2. Legal and Regulatory Basis.

Policy and practice in the area of E-M-S development are grounded in a synthesis of three separate but complementary areas of statute and regulation concerning training, probationary periods, and management development.

a. Executive, Management, and Supervisory Training. 5 USC 4103 requires agency heads to establish training programs to increase economy and efficiency in the operation of the agency and to raise the standards of employees' performance of their official duties to the maximum possible level of proficiency. More specifically, 5 CFR 410.201 requires agencies to review short- and long-term training program needs by occupations, organizations, or other appropriate groups. An agency's management team of its executives, managers, and supervisors represents one such group or occupation for whom these standards of performance and training needs must be addressed.

Attachment 3 to FPM Letter 412-4 (4)

b. Probationary Period for Supervisors and Managers in the Competitive Service. With the aim of providing for good administration of the Federal government, 5 USC 3321 establishes a mandate for a period of probation before initial appointment as a supervisor or manager in the competitive service becomes final. OPM takes this to mean that agencies have an obligation to consider the competencies and possible development needs of newly appointed supervisors and managers during this trial period.

c. Management Development. Under 5 USC 3393(c)(2) and 3396, agencies with SES positions must establish programs for the development of candidates for and incumbent members of the SES; 5 USC 3397 authorizes OPM to prescribe regulatory guidance for these programs. Under 5 USC 4118, OPM has the responsibility to issue regulations containing the principles, standards, and related requirements for agency training programs. Consistent with these statutory authorities and obligations, 5 CFR Part 412 requires agencies to establish executive and management development programs to identify and address the development needs of their management teams, and provides criteria for those programs.

1-3. Program Coverage and Definitions.

To define the target groups for E-M-S development programs adequately, two sets of criteria should be considered: one is based on the level of management responsibilities and the other on categories of managers at each level.

a. Level of Management. Managers at different organizational levels are designated as executives, managers, and supervisors, consistent with other uses of those terms by OPM. Distinctions between levels are made most clearly in terms of differences in the substance of jobs at each level. That is, at higher levels, job duties and requirements change in scope and breadth and not just in their intensity or technical subject matter. Thus, if a person moves from supervising three people to supervising thirty, but the job still requires only a narrow focus on immediate work unit production, the person is still considered a supervisor.

- (1) Criteria for defining executive positions are set forth in 5 USC 3132(a)(2). The duties and responsibilities of such positions must be classifiable above the GS/GM-15 level.
- (2) Managerial and supervisory positions are defined in accordance with the Supervisory Grade-Evaluation Guide published by OPM. Those definitions can also be found in subchapter 9 of FPM Chapter 315, "Probation on Initial Appointment to a Supervisory or Managerial Position."

b. Categories of Managers. For any level of management, three groups of people can be identified who may have different development requirements:

- (1) Incumbent executives, managers, and supervisors;
- (2) Recently selected executives, managers, and supervisors (i.e., those for whom the nature of their new position is substantially different, as described above); and
- (3) Individuals with the potential to become executives, managers, and supervisors when vacancies occur.

c. Target Groups. By differentiating target groups using these criteria (and other relevant, agency-specific criteria), agencies can define development needs more appropriately. The needs of the new supervisor can be distinguished from those of an incumbent supervisor or a new manager.

FPM CHAPTER 412

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1-1. Executive, Management, and Supervisory (E-M-S) Development.

Throughout the Federal government, serving the public interest requires management excellence -- managerial behavior that results in the successful implementation of agency policies and programs. Executives, managers, and supervisors constitute the management team in Federal agencies. Maintaining the quality and efficiency of Federal programs depends on the responsiveness of an agency's management team, since its members direct the agency's employees who administer those programs. Achieving and sustaining management excellence within a management team requires that an agency ensure appropriate levels of expertise among its managers through management development, which recognizes that the competencies required of successful managers are generally distinctive and may not have been acquired in the circumstances of a specialized career or technical occupation.

a. Purpose of Development. E-M-S development is a systematic process whereby executives, managers, and supervisors achieve management excellence by mastering the competencies that will allow their organizations to improve effectiveness and efficiency while responding flexibly to new demands. The development of executives, managers, and supervisors is not a remedial process but a positive strategy to increase excellence in government.

b. Management as a Profession. The vast majority of managerial positions are filled by men and women selected because of technical qualifications demonstrated in a specialized profession or career field. The nature of managerial competencies, however, establishes management as a distinct second profession for which the technical competencies of the first profession become collateral. The managerial role must be prepared for with careful deliberation and analysis. Recognition of the need for additional preparation in this "second career" is the basis for the required probationary period for newly appointed supervisors and managers in the competitive service, and the requirements to develop members of and candidates for the Senior Executive Service (SES).

1-2. Legal and Regulatory Basis.

Policy and practice in the area of E-M-S development are grounded in a synthesis of three separate but complementary areas of statute and regulation concerning training, probationary periods, and management development.

a. Executive, Management, and Supervisory Training. 5 USC 4103 requires agency heads to establish training programs to increase economy and efficiency in the operation of the agency and to raise the standards of employees' performance of their official duties to the maximum possible level of proficiency. More specifically, 5 CFR 410.201 requires agencies to review short- and long-term training program needs by occupations, organizations, or other appropriate groups. An agency's management team of its executives, managers, and supervisors represents one such group or occupation for whom these standards of performance and training needs must be addressed.

Attachment 3 to FPM Letter 412-4 (4)

b. Probationary Period for Supervisors and Managers in the Competitive Service. With the aim of providing for good administration of the Federal government, 5 USC 3321 establishes a mandate for a period of probation before initial appointment as a supervisor or manager in the competitive service becomes final. OPM takes this to mean that agencies have an obligation to consider the competencies and possible development needs of newly appointed supervisors and managers during this trial period.

c. Management Development. Under 5 USC 3393(c)(2) and 3396, agencies with SES positions must establish programs for the development of candidates for and incumbent members of the SES; 5 USC 3397 authorizes OPM to prescribe regulatory guidance for these programs. Under 5 USC 4118, OPM has the responsibility to issue regulations containing the principles, standards, and related requirements for agency training programs. Consistent with these statutory authorities and obligations, 5 CFR Part 412 requires agencies to establish executive and management development programs to identify and address the development needs of their management teams, and provides criteria for those programs.

1-3. Program Coverage and Definitions.

To define the target groups for E-M-S development programs adequately, two sets of criteria should be considered: one is based on the level of management responsibilities and the other on categories of managers at each level.

a. Level of Management. Managers at different organizational levels are designated as executives, managers, and supervisors, consistent with other uses of those terms by OPM. Distinctions between levels are made most clearly in terms of differences in the substance of jobs at each level. That is, at higher levels, job duties and requirements change in scope and breadth and not just in their intensity or technical subject matter. Thus, if a person moves from supervising three people to supervising thirty, but the job still requires only a narrow focus on immediate work unit production, the person is still considered a supervisor.

- (1) Criteria for defining executive positions are set forth in 5 USC 3132(a)(2). The duties and responsibilities of such positions must be classifiable above the GS/GM-15 level.
- (2) Managerial and supervisory positions are defined in accordance with the Supervisory Grade-Evaluation Guide published by OPM. Those definitions can also be found in subchapter 9 of FPM Chapter 315, "Probation on Initial Appointment to a Supervisory or Managerial Position."

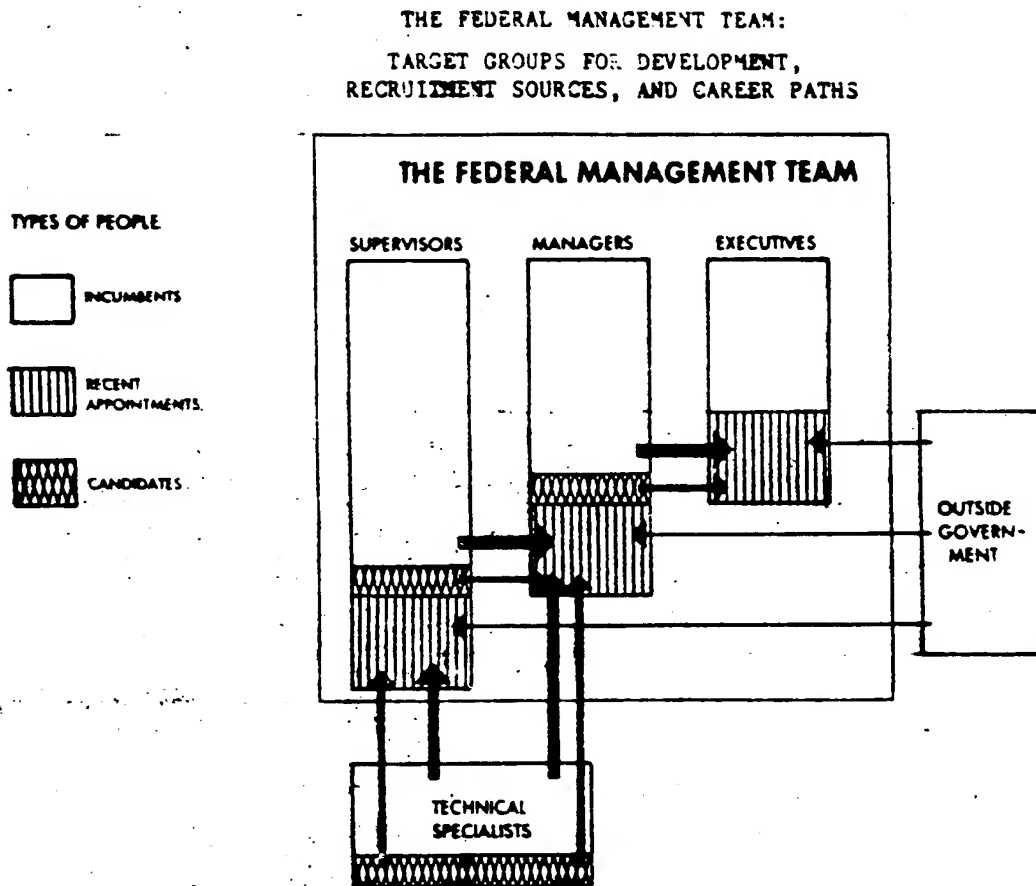
b. Categories of Managers. For any level of management, three groups of people can be identified who may have different development requirements:

- (1) Incumbent executives, managers, and supervisors;
- (2) Recently selected executives, managers, and supervisors (i.e., those for whom the nature of their new position is substantially different, as described above); and
- (3) Individuals with the potential to become executives, managers, and supervisors when vacancies occur.

c. Target Groups. By differentiating target groups using these criteria (and other relevant, agency-specific criteria), agencies can define development needs more appropriately. The needs of the new supervisor can be distinguished from those of an incumbent supervisor or a new manager.

E-M-S development programs can then be tailored to increase their accuracy and impact. Figure 1 depicts these management levels and types of people and shows how career progression occurs across the management levels.

Figure 1.



NOTE: Each arrow represents input to the levels on the management team; width of the arrow indicates relative frequency from each recruitment source.

1-4. Agency Roles.

Agencies must take the initiative to ensure their own management excellence. At a minimum, they should design and administer effective E-M-S development programs that conform to the specifications outlined in section 2-1, using OPM services and assistance as needed. Beyond that, however, agencies should foster management excellence by establishing an environment where it is expected, developed, recognized, and rewarded.

1-5. OPM Role.

OPM's role is to provide leadership and direction to Federal agencies as they move to ensure management excellence within their management teams. This leadership involves setting policy and offering guidance for the development of executives, managers, and supervisors, while monitoring the Federal government's progress toward achieving management excellence. OPM will fulfill this role in partnership with the agencies by making a full range of services available for use as needed (see section 2-2).

Attachment 3 to FPM Letter 412- 4 (6)

SUBCHAPTER 2. E-M-S DEVELOPMENT PROGRAM REQUIREMENTS

2-1. General Requirements.

Agency E-M-S development programs must:

a. Define E-M-S positions as part of a distinct second profession with competency requirements beyond those of a specialized occupational field.

b. Issue a statement of the agency's policies and strategies for achieving the management excellence goal that best addresses the special features of the agency's mission and personnel needs at all organizational levels. This policy statement should be the primary vehicle for communicating the agency head's commitment to the "second profession" concept, and the funding and staff levels needed to meet that goal.

c. Ensure that the development program(s) for executives, managers, and supervisors are closely coordinated to provide consistency, build on a common competency base, and minimize overlap and unnecessary costs. Since Executive Resources Boards (ERB's) have specific operating responsibilities under 5 CFR §412.107 for agency executive and management development programs, they will be the decision-making bodies that can assure this requirement is met through their strategic management of a cohesive development system for an agency's total management team.

d. Assess individual and agency development needs for executives, managers, and supervisors in terms of the competencies and characteristics required at each managerial level for the successful implementation of policies and program initiatives.

e. Recognize the special importance of identifying and meeting individual development needs as a person makes critical career transitions to become a new supervisor, new manager, or new executive; and establish meeting those needs as an agency priority.

f. Include both initial and continuing development of executives, managers, and supervisors.

g. Identify and plan for both short- and long-term agency management development needs using projected workforce requirements and potential changes in agency mission and goals.

h. Consider a variety of developmental approaches and strategies (formal training, mentoring, coaching, rotational assignments, special work projects, long-term education and training programs, etc.) in determining the best and most economical method of fulfilling individual development needs.

i. Operate in a manner that ensures their full integration with the agency's other personnel management programs and systems, such as recruitment, selection, compensation, performance management, affirmative employment, position management, and forecasting managerial resource needs.

j. Establish an evaluation system to assess both program and individual success in terms of agency-developed criteria that address program cost, program impact on organizational and individual performance, and the extent to which other personnel subsystems are affected and strengthened.

2-2. OPM Leadership Responsibilities and Services.

To carry out its obligations under statute, OPM is responsible for providing the following guidance and assistance:

- a. Designing an E-M-S development approach that permits tailoring systems and programs to specific agency and individual needs, while still ensuring that the overall E-M-S development needs of the Federal government are met.
- b. Providing technical advice and assistance to agencies on how their needs and OPM's expectations can be met.
- c. Developing and maintaining a competency-based model of effective performance for Federal executives, managers, and supervisors.
- d. Providing methods and services for the systematic assessment of E-M-S development needs for agencies, groups, and individuals.
- e. Developing and maintaining a nationwide, competency-based curriculum for Federal executives, managers, and supervisors.
- f. Conducting ongoing developmental efforts with agencies to identify and promote new management techniques and practices and to incorporate these into E-M-S development.
- g. Monitoring the performance of agency E-M-S development programs.
- h. Sharing information with agencies on the results of OPM and other agency efforts to achieve management excellence in government.
- i. Providing regulatory and FPM guidance as appropriate.

2-3. Program Monitoring and Evaluation.

The best interests of the Federal government, as well as specific provisions of statute (5 USC 3396(b)) and regulation (5 CFR 412.105), require that OPM and the agencies work together to evaluate the benefits and costs of the E-M-S development programs in Federal agencies.

a. Agency Requirements. Specifically, agencies are required to:

- (1) Maintain adequate documentation of program efforts and costs to demonstrate that OPM and agency E-M-S development policies are being implemented; and
- (2) Submit program information to OPM as requested to assist in government-wide evaluation efforts.

b. OPM Responsibilities.

- (1) OPM will analyze Federal E-M-S development program trends and accomplishments using available data base systems, results of periodic onsite agency reviews, and feedback from agencies received as part of E-M-S development program assistance. The results of these analyses will be shared with agencies and form the basis for OPM policy, leadership initiatives, and requirements that may be established to assure the development of management excellence in government.
- (2) OPM will continue to work with agencies to implement the requirements of 5 CFR Part 412 on executive and management development.

Attachment 3 to FPM Letter 412- 4 (8)

SUBCHAPTER 3. SPECIFIC E-M-S DEVELOPMENT PROGRAMS AND PROVISIONS

3-1. Development Programs for Specific Management Levels and Career Transitions.

By designing E-M-S development programs according to the principles and requirements outlined in this chapter, agencies will produce coherent, integrated systems that identify and address development needs throughout their management teams with activities tailored to appropriate subgroups within those teams. Such subgroups are already identified to some degree by specific provisions in law and regulation. Examples of these subgroups and some of their relevant program and development considerations are listed below.

a. Supervisors. Consistent with 5 CFR §410.201(a)(3) agencies should consider supervisors as a group and project their short- and long-term training program needs.

- (1) For new first-line supervisors, particular attention should be paid to developing appropriate management competencies and characteristics for this initial stage of their "second career". Primarily, this involves basic supervisory skills, and effective communication and interpersonal relations. In addition, however, an understanding of the Federal management role in general and how individual managers contribute to achieving management excellence provides an important frame of reference for their new career.
- (2) Incumbent supervisors should maintain those specific technical or professional competencies that continue to play a major role in their effectiveness on the job. Beyond this, longer-tenured supervisors should develop advanced skills in guiding and monitoring subordinates, including leadership skills in taking actions to direct their work units toward achieving results. Also, they should stay current with government-wide initiatives that improve basic administrative and resource management systems.

b. Managers. 5 CFR §412.103(a)(3) and §412.107(e) require agencies to establish either open management development systems or selective management development systems (or both) for incumbent managers and specialists identified as having management potential at grades GS/GM-13 through 15. To further progress toward affirmative employment goals, agencies may include employees at the GS-12 level. Under 5 CFR §412.107(a), agency ERB's provide the overall planning and management of these programs.

- (1) New managers will need development aimed at providing that increment of management competencies and characteristics their broader job responsibilities require. They need a clear understanding of their more direct role in implementing national policies and programs and its relation to supervisory and executive behavior. They must reinterpret and adjust their existing skills and attributes to meet the demands of this new role. Some new areas of competency must be acquired, especially in functions like planning and evaluation, and this management level often requires new competencies for managing resources effectively under various central management agency policies and programs. Finally, attributes like tenacity, flexibility, initiative, and vision must be cultivated and applied in new settings.
- (2) Incumbent managers will need to keep abreast of technological changes and relevant policy and program initiatives. Those who make career transitions within this level (e.g., from staff to line positions or field to headquarters locations) will need to assess the requirements of their new positions and develop new skills or broaden their existing skills further. Senior managers, too, need updating and advanced practice in the behavior that has supported their management excellence in the past.
- (3) Management candidates who have never held a supervisory position, i.e., specialists identified as having management potential, may need opportunities to assess and develop their basic supervisory skills.

c. Executives. The law is clearest on establishing agencies' obligation to provide systematic development for and within the SES. The responsibility for developing SES members is shared by the individual executives and their agency ERB's.

- (1) Incumbent SES Members. (a) 5 USC 3396(a) and 5 CFR 412.103(a)(1) require agencies to establish programs for the continuing development of SES members. The most effective executive performance combines highly developed management competencies and characteristics with an up-to-date appreciation of the environment in which those skills can be applied to serve the national interest. That environment is a highly complex world of constant change. Executives must be knowledgeable about such areas as: technological developments, new legislation, innovative management practices, and current policy and program initiatives. The SES individual development plan (IDP) can serve as the primary tool for ensuring executives maintain currency in appropriate areas.

(b) Agency programs must include the preparation, implementation, and regular updating of an IDP for each SES member. The IDP requirement may be met by appending a brief listing of developmental objectives and specific proposed developmental activities to each senior executive's annual performance plan. An elaborate paperwork system is not needed. The IDP should focus on assessing personal competencies against the competencies required for optimum performance in the current or a prospective position, especially those required for implementing national policies and program initiatives. The ERB must approve each plan. OPM encourages agencies to use the IDP as a planning device to derive optimal performance from both SES members and their organizations.

- (2) SES Candidates. Under 5 USC 3396(a) and 5 CFR 412.103(a)(2) and 412.107(c), agencies with positions in the SES are required to establish programs for the development of candidates for the SES. Agencies should focus primarily on individuals just below the SES, at the GS/GM-15 level. Agency ERB's provide the overall direction and management of these programs. Section 3-2 describes these programs more specifically.

3-2. SES Candidate Development Programs.

NOTE: Because of its specific statutory responsibilities concerning the implementation of SES candidate development programs in agencies, OPM took a strong role in designing the requirements for these programs. The relative volume of guidance provided for this program, compared with other programs and groups listed in section 3-1, should not be interpreted as an indication of the level of importance OPM places on any of these programs. Many organizations, using projected vacancies as a planning tool in designing and prioritizing development programs for the total management team, could determine that the development of their supervisors and managers has a higher resource priority.

a. Recruitment.

- (1) Recruitment for SES candidate development programs is the first step in a selection and development process that can result in appointment to the SES. As such, it is subject to merit staffing procedures equivalent to those used for filling SES positions.
- (2) Agencies may establish dual programs for SES candidate development, with appropriate recruitment procedures for each. One program would be for developing candidates serving in career or career-type positions. The other would be for developing candidates selected from outside the Federal government and/or from employees serving in other than career or career-type appointments within the civil service.

b. Development Requirements.

- (1) Individual Development Plan. Each participant in a SES candidate development program must have an IDP approved by the appropriate ERB. The IDP must identify the developmental experiences designed to provide competency in the executive activity areas considered in the executive qualifications review process.

Attachment 3 to FPM Letter 412- 4 (10)

- (2) Specific Training Experience. Each IDP must include participation in a current, formal, interagency, executive-level training experience with participants representing a variety of Federal agencies with a broad mix of missions. The training experience may be provided by either Government or non-Government sources, but it must have prior, written OPM approval. The course of instruction must promote competence and effectiveness by establishing a working knowledge of executive roles in government, particularly:
- the competency areas (or executive activity areas from the qualifications review process) concerning "Integrating Internal and External Issues" and "Representing and Coordinating";
 - showing sensitivity to political, economic, and other non-technical factors; and
 - approaching issues with a strategic view and broad perspective.
- (a) Agencies may request OPM approval of a course or program by sending a letter to OPM explaining how the program or course meets the criteria outlined above. Requests should be sent to:
- Assistant Director for Training and Development
U.S. Office of Personnel Management
1121 Vermont Avenue, NW
Washington, D.C. 20044
- When a course or program is approved, OPM will notify the agencies. OPM and the agencies are jointly responsible for monitoring approved programs to ensure they continue to meet the criteria. If a program no longer meets them, OPM will rescind approval and notify the agencies.
- (b) OPM will consider individual exemptions to this requirement; however, OPM considers participation in a current, formal, interagency, executive-level training experience of such importance that exemptions to the requirement will be made only under extraordinary circumstances.
- (3) Senior Advisors. Each participant in an SES candidate development program must have an SES member as a senior advisor. As the advisor's effectiveness depends greatly on the compatibility of the individuals, agencies should try to involve both candidates and advisors when initially assigning advisors or when considering changing those assignments. Advisors should provide a broad, long-term perspective, as well as insight about the organization's management; help candidates prepare IDP's; help arrange developmental assignments; and monitor the candidate's progress. Agencies must ensure that advisors are aware of these responsibilities and are properly prepared to fulfill their roles.

e. Certification.

- (1) Once an individual has successfully completed an OPM-approved executive development program, the ERB has nine months to request the Qualifications Review Board (QRB) to certify the individual's qualifications for the SES. To obtain certification, the ERB must submit the following documents:
- (a) A completed OPM Form 1390, "Executive Personnel Transaction Form";
 - (b) A letter, signed by the Chairperson of the agency's ERB, containing:
 - a brief appraisal of the graduate's performance during the program,
 - a statement that the individual has successfully completed all IDP activities,
 - the title, location, and date of the OPM-approved training experience, and
 - the ERB's approval of the submission; and
 - (c) A copy of the IDP linking the completed developmental activities with the SES competency areas.
- (2) The ERB should send the document package to its SES agency officer at:
- Office of Executive Personnel
U.S. Office of Personnel Management
1900 E Street, NW
Washington, D.C. 20415
- (3) QRB certification of an individual based on successful completion of an SES candidate development program will remain valid as a basis for initial career appointment to the SES for a period of 3 years, or until the date of initial career appointment to the SES, whichever occurs first.